

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Collins et al.	Group Art Unit: Unknown
Application No: Unknown	Examiner: Unknown
Confirmation No: Unknown	
Filed: Herewith	Attorney Docket No: 000894 USA C02/ISM/HDP/CVD/JCW
Title: ELECTROSTATIC CHUCK HAVING DIELECTRIC MEMBER WITH STACKED LAYERS AND MANUFACTURE	January 21, 2004 San Francisco, California

INFORMATION DISCLOSURE STATEMENT

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

Attached hereto is a PTO-1449 form listing documents believed relevant to the subject application. It is respectfully requested that these documents be considered by the Examiner and an initialed copy of the form be returned to the undersigned.

Applicant believes this Information Disclosure Statement should be considered by the Office because it is being filed before the mailing of a first Office Action on the merits.

It is believed that no fee is due for the filing of this Information Disclosure Statement. However, if any fee is due, the Commissioner is hereby authorized to charge payment of any such fees to Deposit Account No. 10-0258.

Also, if any Petition is required for the filing of this Information Disclosure Statement, such Petition is requested herein.

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or facsimile transmitted to the U.S. Patent and Trademark Office at (703) \_\_\_\_\_ on the date shown below.

By: Emma M. C.

Date: JANUARY 28, 2004

It is believed that this disclosure complies with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, and the Manual of Patent Examining Procedures §707.05(b). If for some reason the Examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

Copies of the references have not been provided since all of the references listed were of record in the parent application. However, if the Examiner needs a copy of one or more of the references, Applicant will provide the reference or references to the Examiner.

Some of the documents may have markings thereon. No significance is meant to be attached to the markings.

With regard to any translations which may be provided herewith, the undersigned does not know how the translations were made, or by whom the translations were made. Therefore, no representation is being made as to the accuracy of any translation.

These documents are not necessarily analogous.

Respectfully submitted,  
JANAH & ASSOCIATES, P.C.

Date: 1/23/2004

By:

  
\_\_\_\_\_  
Ashok K. Janah  
Reg. No. 37,487

Please direct all telephone calls to:

Ashok K. Janah  
(415) 538-1555

Please continue to send all correspondence to:

Applied Materials, Inc.  
Patent Department, M/S 2061  
P.O. Box 450A  
Santa Clara, CA 95052

Encl.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**Complete if Known****INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1

of 14

Application Number	Unknown
Filing Date	Herewith
First Named Inventor	Collins
Art Unit	Unknown
Examiner Name	Unknown

Attorney Docket Number 000894 USA C02/ISM/H

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 4384918	05/24/1983	Abe	
		US- 4412133	10/25/1983	Eckes et al.	
		US- 4480284	10/30/1984	Tojo et al.	
		US- 4645218	02/24/1987	Ooshio et al.	
		US- 4665463	05/12/1987	Ward et al.	
		US- 4832781	05/23/1989	Mears	
		US- 5055964	10/08/1991	Logan et al.	
		US- 5104834	04/14/1992	Watanabe et al.	
		US- 5117121	05/26/1992	Watanabe et al.	
		US- 5151845	09/29/1992	Watanabe et al.	
		US- 5166856	11/24/1992	Liporace et al.	
		US- 5258047	11/02/1993	Tonsikue et al.	
		US- 5275683	01/04/1994	Arami et al.	
		US- 5280156	01/18/1994	Niori et al.	
		US- 5315473	05/24/1994	Collins et al.	
		US- 5324053	06/28/1994	Kubota et al.	
		US- 5325261	06/28/1994	Horwitz	
		US- 5350479	09/27/1994	Collins et al.	
		US- 5382469	01/17/1995	Kubota et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		JP-227748	01/30/1990			✓
		JP-4367247	12/18/1992			✓
		EP-439000-B1	09/14/1994			✓
		EP-635869-A1	04/22/1994			✓
		JP-6232243	08/19/1994			✓
		EP-791956-A	08/27/1996			✓

Examiner Signature		Date Considered
--------------------	--	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	Unknown
		Filing Date	Herewith
		First Named Inventor	Collins
		Art Unit	Unknown
		Examiner Name	Unknown
Sheet <u>1</u> of <u>14</u>	Attorney Docket Number <u>000894USAC02/ISM/HDP</u>		

U. S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<p>Substitute for form 1449/PTO</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p><i>(Use as many sheets as necessary)</i></p>		<b>Complete if Known</b>	
		Application Number	Unknown
		Filing Date	Herewith
		First Named Inventor	Collins
		Art Unit	Unknown
		Examiner Name	Unknown
Sheet 3 of 4	Attorney Docket Number 000894USAC02/ISM/HDP		

<b>NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Daviet, et al. "Electrostatic Clamping Applied to Semiconductor Plasma Process-I. Theoretical Modeling," J. Electrochem. Soc. 140(11):3245-3255 (November 1993)	
		Daviet, et al. "Electrostatic Clamping Applied to Semiconductor Plasma Processing-II. Experimental Results," J. Electrochem. Soc., 140(11):3256-3261 (November 1993)	
		Nakasuji, et al. "Low Voltage and High Speed Operating Electrostatic Wafer Chuck," J. Vac. Sci. Technol. A., 10(6):3573-3578 (November/December 1992)	
		Watanabe, et al., "Effect of Additives on the Electrostatic Force of Alumina Electrostatic Chucks," J. of the Ceramic Soc. of Jpn., 100(1):1-6 (1992)	
		Watanabe, et al. "Electrostatic Force and Absorption Current of Alumina Electrostatic Chuck," Jpn. J. Appl. Phys., 32(Pt.1, No.2):864-871 (1993)	
		Watanabe, et al. "Electrostatic Force and Absorption Current of Alumina Electrostatic Chuck," Jpn. J. Appl. Phys. 31(Pt.1, No.7):2145-2150 (1992)	
		Watanabe, et al., "Resistivity and Microstructure of Alumina Ceramics Add with TiO <sub>2</sub> Fired in Reducing Atmosphere," J. of the Ceramic Soc. of Jpn Int Ed, 101:1076-1083	
		Wright, et al., "Low Temperature Etch Chuck: Modeling and Experimental Results of Heat Transfer and Wafer Temperature," J. Vac. Sci. Tech. A 10(4):1065-1070 (July/August 1992)	

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

U.S. PENDING PATENT APPLICATIONS  
ATTORNEY DOCKET NO.: 000894 USA C02/ISM/HDP/CVD/JCW  
S/N: N/A - FILED: HEREWITH  
INVENTORS: COLLINS, ET AL.

EXAMINER INITIAL		PENDING U.S. PATENT APPLICATIONS
	D1	U.S. Patent Application entitled, "Surface Preparation to Enhance the Adhesion of a Dielectric Layer"; filed April 26, 1996; Serial No. 08/639,156; Inventor: Arik Donde; Attorney Docket No. 1245
	D7	
	D3	
	D4	
	D6	
	D6	
	D7	
	D8	
	D6	
	D14	
	D11	
	D12	
	D13	
	D14	
	D15	
	D16	